

## **Guidance Regarding Unified Registration System Roll-Out on December 12, 2015**

### **PURPOSE**

The purpose of this guidance document is to notify Performance Registration and Information Systems Management (PRISM) States of the impacts from the initial implementation of the Unified Registration System (URS).

### **BACKGROUND**

URS is an electronic online registration system that is streamlining and simplifying the Federal Motor Carrier Safety Administration's (FMCSA) registration process. URS combines safety and operating authority registration processes and related information technology systems and forms into a single, electronic online registration process. Safety registration is required for any employer or person operating a commercial motor vehicle in interstate commerce, subject to the Secretary's safety jurisdiction under 49 U.S.C. Chapter 311. In addition, obtaining operating authority registration is also a requirement for interstate commerce under 49 CFR 392.9a.

Starting September 30, 2016 when the URS is fully deployed, new interstate motor carrier applicants will immediately receive an "inactive" USDOT number online once the application and associated fees have been submitted. A new motor carrier's USDOT number will go active after all filings are completed (i.e., insurance, service of process agent). During this waiting period, the motor carrier is not allowed to operate interstate, but may operate intrastate based on their domiciled State's requirements.

Also after September 30, 2016, new and existing private hazardous materials motor carriers and exempt for-hire motor carriers will need to submit insurance filings to obtain or to maintain their safety registration and an active USDOT number. All new and existing private and exempt for-hire motor carriers must also designate a Service of Process Agent and have this Service of Process Agent electronically file a Form BOC-3 on their behalf. The filings must be submitted by their insurance company and Service of Process Agent on the FMCSA website by the compliance date of December 31, 2016. If the required filings are not made for new applicants, then their registration request will not be granted and their USDOT number will remain inactive. If existing carriers do not file by the compliance date, then their existing registrations will be suspended and their USDOT number will be deactivated.

On December 12, 2015, the FMCSA began its phased implementation of URS and it affects PRISM States. After this date, the following changes will affect PRISM States:

- PRISM States will no longer issue USDOT numbers; and
- Language for registration requirement #8 will be updated.

### **GUIDANCE**

#### **Eliminating the Task of Issuing USDOT Numbers**

Effective December 12, 2015, PRISM States can no longer issue USDOT Numbers to motor carriers for intrastate or interstate operations. Motor carriers that require a USDOT number for intrastate or interstate operations will be required to apply for registration via the URS at [www.fmcsa.dot.gov/urs](http://www.fmcsa.dot.gov/urs).

Starting September 30, 2016, the fee for interstate safety registration and operating authority registration will be \$300 for each registration type. For example, if a new company wants to start operating as a new for-hire interstate motor carrier of property and household goods – the fee will be \$900--\$300 for safety registration, \$300 for operating authority for property, and \$300 for operating authority for household goods.

Please note: there is no fee charged for obtaining an intrastate USDOT number. However, if the motor carrier later registers as an interstate carrier, it will be subject to the appropriate registration fees.

Currently, the PRISM Grant Agreement states that States may issue interstate USDOT numbers to their customers and receive grant funding for this purpose. However, this language will be removed from the PRISM Grant Agreements and grant funding will not be approved for this purpose in the future.

#### **Language Change to Implementation Registration Requirement #8**

Currently, registration requirement #8 reads as follows:

*Identify, collect and maintain the DOT Number and Tax Identification Number (TIN) for the motor carrier responsible for the safe operation of each vehicle being registered. States that issue DOT numbers must use standardized procedures to access the MCMIS database.*

As of December 12, registration requirement #8 reads as follows:

*Identify, collect and maintain the DOT Number and Tax Identification Number (TIN) for the motor carrier responsible for the safe operation of each vehicle being registered.*

See Attachment A for revised PRISM Implementation Requirements.

#### **MC Numbers and “T” Files for CVIEW**

Under the full deployment of URS on September 30, 2016, the FMCSA will no longer issue docket numbers (e.g., MC, FF, MX numbers). The T0031 and T0032 files will be revised by removing the fields associated with docket numbers (e.g., MC number, common authority, contract authority, etc.) and adding new fields reflecting the 24 different FMCSA safety and operating authority registration types. The FMCSA will be providing technical documentation and hosting conference calls with state partners to ensure the SAFER/CVIEW transactions are successful.

#### **Creating USDOT Numbers for Enforcement Tracking Purposes**

FMCSA and State enforcement partners create USDOT numbers as a tracking number for enforcement cases against entities subject to the Agency’s enforcement provisions, but not the registration provisions under 49 CFR 390. For example, with the new coercion and harassment rules, the Agency could assign DOT numbers to entities that coerce drivers (receivers, shippers and transportation intermediaries). Other examples include intrastate carriers required to have a CDL, brokers operating without required authority, and intrastate HM carriers.

Until the full URS deployment on September 30, 2016, FMCSA and State enforcement agency partners will follow the following procedures to create a USDOT number for enforcement tracking purposes.

1. Login to the portal at: <https://portal.fmcsa.dot.gov/login>
2. Click on MCMIS.
3. In MCMIS, select "MCS 150/150B/150C Add" and click "Go".
4. Select "Interstate Shipper Only", or "Intrastate Shipper Only", whichever one more closely describes the entity.
5. Complete submission of the MCS 150 form, and receive a USDOT #.
6. In MCMIS, select "Company Information" and click "Go".
7. Select "Modify Company Record" and click "Go".
8. Modify the company attributes so that they are consistent with how we enter the data (for an entity that we encounter that we need to track but that is not subject to Part 390) today.

Should you have any questions or concerns, please contact Monique Riddick at 202-366-6407 or via email at [monique.riddick@dot.gov](mailto:monique.riddick@dot.gov).

Attachment

**PRISM Implementation Requirements****Registration Program Requirements****Legislation:**

1. Seek authority to suspend (or revoke) and deny registration if the motor carrier responsible for safety of the vehicle is under a Federal out of service (OOS) order, including authority to deny registration to motor carriers attempting to avoid FMCSA enforcement sanctions by obtaining a new USDOT number under a different name and motor carriers under Federal operating authority sanctions.
2. Seek authority to retrieve license plates from carriers whose registration has been suspended based on FMCSA sanctions.

**Registration Processes:**

3. Check carrier safety status before issuing credentials and deny the registration if the motor carrier is prohibited from interstate operations.
4. Check carrier safety status during the registration period on a daily basis, and suspend the registrations of any vehicles assigned to motor carriers under a Federal OOS order or under Federal operating authority sanctions.
5. Check every VIN entered into the IRP system against the PRISM Target File to see if the vehicle is associated with a motor carrier that is under a Federal OOS order or under Federal operating authority sanctions.
6. Update the PRISM-SAFER database daily with vehicle registration information by uploading either a PRISM Vehicle File or CVIEW T0022 transactions.
7. Maintain/update the IRP Status Code within the vehicle registration records, and apply the 950 status code to vehicles that are suspended due to a Federal OOS order.

**Data Collection and Forms:**

8. Identify, collect and maintain the USDOT Number and Tax Identification Number (TIN) for the motor carrier responsible for the safe operation of each vehicle being registered.
9. Validate the USDOT Number and TIN before adding any USDOT Number and TIN combination to the IRP registration files at the vehicle level (VIN).
10. Print and barcode the motor carrier information on the cab card if the motor carrier responsible for the safety of the vehicle is not expected to change during the registration year.
11. Incorporate PRISM requirements in temporary authority processes.

### **Communications and Training:**

12. Collect the number of registration denials and suspensions/revocations due to a motor carrier being identified as under a Federal OOS order, and report to the Division Office on a quarterly basis.
13. Provide assistance to FMCSA Division Office for carrier-related registration information requested.
14. Provide assistance to State motor carrier law enforcement for carrier-related registration information requested.
15. Ensure PRISM training is provided to all appropriate IRP staff, motor carriers, and other interested parties, including training of IRP staff on key FMCSA applications such as MCMIS and Query Central, where applicable.

### **Law Enforcement Program Requirements**

1. Identify vehicles assigned to carriers under a Federal OOS order or operating without operating authority when operating authority is required and take the appropriate enforcement action by placing the vehicle OOS.
2. Identify vehicles assigned to carriers on the PRISM target file and prioritize those carriers for inspection.
3. In probable cause states, obtain authority to consider as a probable cause the FMCSA OOS condition and/or OOS order against the USDOT number of the motor carrier responsible for safety.
4. Seek and implement authority to remove the license plates from vehicles associated with motor carriers that have been suspended for operating under a Federal OOS order.
5. Implement procedures to determine how to correct the unassigned or incorrectly assigned safety events.
6. Ensure PRISM training is provided to all enforcement officers.